

### **PART III - LIST OF DOCUMENTS, EXHIBITS, AND OTHER ATTACHMENTS**

#### **SECTION J - LIST OF ATTACHMENTS**

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**SECTION J**  
**ATTACHMENT A**

	Report	Description	Driver	Frequency		Approval Required
<b>RECURRING REPORTS PROVIDED TO DOE-SR</b>						
<b>OFFICE OF GENERAL MANAGER</b>						
1.	Employee Concerns Report	Summary of Employee Concerns received; includes required details	DOE O 442.1A	Monthly		Office of Civil Rights Information
2.	Employee Concerns Trend Report	Analysis of concerns; identifies trends and makes recommendations	DOE O 442.1-1	Quarterly		Office of Civil Rights Information
3.	EEO Report	Summary of Equal Employment Opportunity related concerns	DOE O 442.1-1	Quarterly		Office of Civil Rights Information
4.	Affirmative Action Plan	Summary of all recruiting activities; interpretation of statistical data as related to Company AAP	Executive Order 11246	Annually		Office of Civil Rights Information
<b>PROTECTIVE FORCE OPERATIONS</b>						
5.	Daily Activity Report (DAR)	Daily summary of activities or unusual events that occur on the SRS from 0001 hours through 2400 hours, which may have an impact on site security, operations, safety, public relations or personnel	Contract, Part I, Section C.5.5.3.7	Daily		OSSES and Other as Directed for Information
<b>TRAINING</b>						
6.	Training Plan	Captures topics that will be trained to for Protective Force personnel for the fiscal year	DOE O 470.4-3	Annually		Director, OSSES Approval
7.	Job Analysis	Details the required actions or functions for each specific job assignment	Contract, Part I, Section C.5.3.1	Annually		Director, OSSES Approval
<b>SECURITY PLANNING &amp; INFRASTRUCTURE</b>						
8.	Staffing Status Report	Comparison of authorized vs. actual personnel by office/division	DOE Request; Contract Part III, Section J, Attachment A	Monthly		Office of Human Capital Management Information
9.	Strength Report	Actual vs. authorized personnel levels by Protective Force rank and total numbers	DOE Request; Contract Part III, Section J, Attachment A	Quarterly		OSSES Information
10.	Staffing Plan	Contractor staffing levels by post and	Contract Part III,	Annually		Director, OSSES

	Report	Description	Driver	Frequency		Approval Requirements
		position for current year and three out-years; baseline for Annual Operational Plan	Section J, Attachment A			and Cognizant DOE Support Personnel Approval
11.	Performance Test Schedule <b>(Changed to Annual Exercise and Performance Test Schedule)</b>	Outlines the schedule for completion of site exercise and performance test requirements	DOE-SR Request	Weekly, Quarterly, Annually <b>(Changed to Annually, and as revisions are required)</b>		OSSES Information
<b>OCCUPATIONAL SAFETY AND HEALTH</b>						
12.	Tabulation of Work Hours	Information for "Safety Stats" Portion of Environmental Management Conference Call	DOE M 231.1-1A	Quarterly <b>(Currently being provided Weekly)</b>		OSSES and Office of Safety & Quality Assurance Information
13.	Individual Accident/Incident Report	Information for "Safety Stats" Portion of Environmental Management Conference Call	DOE M 231.1-1A	New Reports-Semi-Monthly Updated Reports – Quarterly <b>(Currently being provided Weekly)</b>		OSSES and Office of Safety & Quality Assurance Information
<b>QUALITY AND PERFORMANCE ANALYSIS</b>						
14.	ELITE Suggestion Program Recognition	Quarterly status update of all implemented suggestions and monetary value	Contract Part III, Section J, Attachment A	Quarterly/Annually		OSSES Information
15.	Quality Assurance Program	Significant updates to the Quality Assurance Plan	DOE O 414.1C	Annually (If program requires significant modification)		OSSES Approval
16.	DOE-SR Inspection Findings	Monthly status update on DOE-SR Survey Inspection findings issued to Contractor	DOE O 470.4-1	Monthly		OSSES Information
17.	DOE-SR Appraisal Findings	Monthly status update on DOE-SR Appraisal findings issued to Contractor	DOE O 470.4-1	Monthly		OSSES Information
18.	DOE-SR ESH Status Report	Quarterly status update on DOE-SR Environmental, Safety and Health findings issued to Contractor	DOE O 470.4-1	Quarterly		OSSES Information

	Report	Description	Driver	Frequency		Approval Requirements
19.	Deficiency Trend Report	Trending information on all internal and external findings issued to Contractor	DOE O 470.4-1	Quarterly		OSSES Information
<b>PUBLIC AFFAIRS</b>						
20.	Performance Evaluation Report	Report showing significant and notable accomplishments during the reporting period in areas identified in the Performance Evaluation Plan	Contract Part III, Section J, Attachment A	Semi-Annually		OSSES for Review Basis for Award Fee Determination
<b>ADMINISTRATION</b>						
21.	Financial Call-In Accrual Reporting	Current Month and Year-to-Date Expenses incurred by Funding Program, and Budget and Reporting Code	Contract, Part III, Section J, Attachment A	Monthly		Finance Division Information
22.	Expenditure Detail Report	Recap of billable expenses for current month and Contract Inception-to-Date	FAR 52.216-7	Monthly		Finance Division Information
23.	Financial Capital Equipment Reporting	Report acquisition of Capital Equipment (Cost > \$50K, useful life > 2 years) through purchase or transfer	DOE O 534.1A	Monthly		Finance Division Information
24.	Contractor Compensation Part I & II	Salaries and additional compensation and grouping by ranges	Contract, Part III, Section J, Attachment A	Semi-Annually		Office of Human Capital Management Information
25.	Expenditures for Employee Supplementary Compensation Part I & II	Recap of leave, fringe benefits, hours, overtime, and severance	Contract, Part III, Section J, Attachment A	Annually		Office of Human Capital Management Information
26.	Federal Aviation Interactive Reporting System (FAIRS)	Aircraft hours and cost data entered into web-based GSA reporting system	DOE O 440.2B, Chg. 1	Quarterly		OSSES approval
27.	Annual Operational Plan (AOP)	Annual Plan including task scope description, staffing requirements, budget, milestones, and performance measures	Site Management Plan for Planning, Budgeting, Work Authorization and Control	Annually		Director, OSSES and Cognizant DOE Support Managers
28.	Cost Data Variance Analysis at S&S Program Element Levels for WSI-SRS	Monthly actual cost compared to budget by S&S program element (Budget & Reporting Code)	Site Management Plan for Planning, Budgeting, Work Authorization and Control	Monthly		Budget Division Information
29.	Monthly Reporting of Contractor Employment Data	Monthly Manpower Report showing headcount by DOE Funding Program	Contract, Part III, Section J,	Monthly		Office of Human Capital

	Report	Description	Driver	Frequency		Approval Requirements
			Attachment A			Management Information
30.	Quarterly Manpower Report	Quarterly Manpower Report showing headcount by DOE Funding Program	Contract, Part III, Section J, Attachment A	Quarterly		NNSA Information
31.	Revised Fiscal Year XXX Actual Cost Estimate for the Contract	Annual letter to DOE showing revised cost estimate based on the AOP	Contract, Part I, Section B.2	Annually		Used by CO to Modify Contract
32.	Annual Projected Overtime for the Fiscal Year	Annual letter to DOE showing projected overtime based on the AOP	Contract, Part II, Section I.26	Annually (Prior to September 1)		CO Approval
33.	Annual Budget Submission	Congressional Budget submitted for current year, upcoming year, and Budget Year, and long-range forecast for 5 years	EM and NNSA Field Budget Calls	Annually		Budget Division Information
34.	Small, Small Women-Owned & Small Disadvantaged Business Subcontracting Plan	Annual Small Business Program Plan showing strategy and goals for the coming fiscal year	FAR 52.219-9; Contract, Part III, Section J, Attachment C	Annually		CO Approval
35.	Standard Form 294 Subcontracting Report for Individual Contracts	Report showing Small Business Program activity in dollars and percentages of total purchases	FAR 52.219-9	Semi-Annually		Small Business Program Management Approval
36.	Subcontracts Eligible for Defective Pricing Reviews	Subcontracts in excess of \$100K that can be audited for defective pricing	FAR 52.215-2	Annually		DCAA information on behalf of DOE
37.	Affirmative Procurement Report	Report showing purchases of recovered and recycled products	Resource Conservation and Recovery Act, Section 6002(i); Executive Order 13101; DOE O 450.1	Annually (to WSRC)		Information for SI Consolidation
38.	Motor Vehicle Justification Report	Provided to justify retention of motor vehicles assigned to Contractor	Contract, Part III, Section J, Attachment A	Annually		Director, Infrastructure Support Division Information
39.	Use and Utilization Report (Vehicles and Motorized Equipment)	Provides utilization data for all assigned vehicles and motorized equipment	Contract, Part III, Section J, Attachment A	Semi-Annually		Director, Infrastructure Support Division Information
40.	Mechanical Equipment Repair Costs Report	Summarizes all repair costs, both for the reporting period and cumulative	Contract, Part III, Section J,	Quarterly		Director, Infrastructure

	Report	Description	Driver	Frequency		Approval Requirements
			Attachment A			Support Division Information
41.	Vehicle Accident Report	Provides a summary of all vehicle accidents occurring during the reporting period, and the cost and disposition of any required repairs	Contract, Part III, Section J, Attachment A	Quarterly		Director, Infrastructure Support Division Information
42.	Use and Utilization Report (Watercraft)	Provides utilization data for all assigned watercraft	Contract, Part III, Section J, Attachment A	Semi-Annually		Director, Infrastructure Support Division Information
43.	Quarterly Report of Inventories	Provides inventory results for physical inventories of stores supplies as well as equipment and sensitive items maintained on the Master Property Record	Contract, Part III, Section J, Attachment A	Quarterly		Organizational Property Management Officer, Office of Support Services Information
44.	Ordnance Report	Provides a listing of all firearms, ammunition, pyrotechnics, and explosives maintained at the Ordnance Storage Facility or assigned for duty use	Contract, Part III, Section J, Attachment A	Quarterly		Director, OSSES Information
45.	Annual Report of Inventories	Provides inventory results for physical inventories of stores supplies as well as equipment and sensitive items maintained on the master property record	Contract, Part III, Section J, Attachment A	Annually		Organizational Property Management Officer, Office of Support Services Information
46.	Litigation Management Budget	Report showing success staying within budget and cost projections for next budget year	10 CFR 719 719.17	Annually		Office of Chief Council Approval
47.	Annual Mail Management Report	Report showing piece count and cost of mail delivered by the US Post Office. Also, piece count and cost of FedEx Overnight Express and FedEx ground packages	CFR 41, Chapter 102-192 Federal Mail Management	Annually		Federal Facility Mail Manager Information
<b>SECURITY SUPPORT</b>						
48.	WSI-SRS Badge, Pass, Credential Office Productivity Report	Documents overall disposition of the Badge, Pass and Credentials Office	DOE M 470.4-2	Monthly		OSSES Personnel Security Team Leader Information

	Report	Description	Driver	Frequency		Approval Requirements
49.	Personnel Reliability Program (PRP) Drug Testing Statistics	Document number of tests conducted with results	At the request of DOE-SR	Monthly		OSSES Personnel Security Team Leader Information
50.	HRP Management Plan	Details Contractor HRP program with objectives and goals	10 CFR 721	Annually		OSSES HRP Program Manager Information
51.	Clearance Budget Forecast	Identifies anticipated number of clearances for fiscal year	At written request from DOE-HQ	Annually		OSSES Personnel Security Team Leader Information
52.	HRP Lesson Plan	Outlines HRP curriculum, initial and annual	10 CFR 721	Annually		OSSES HRP Program Manager Information
53.	HRP Report	Documents number of HRP employees by area	At the request of DOE-SR	Monthly		OSSES HRP Program Manager Information
54.	Statistical Report – Information Office Oversight	Graphically enumerates the number of documents classified by Contractor in the quarter	DOE M 475.1-1B	Quarterly		OSSES Classification Officer Information
55.	Weapons Credential Report	Documents disposition of DOE Weapons Credentials	DOE M 473.2-2	Quarterly		Director, OSSES Information
56.	Annual Weapons Credential Inventory	100% accountability of Contractor Weapons Credentials	DOE M 473.2-2	Annually		Director, OSSES Information
57.	Information Report Graph	Graphically enumerates the number of documents classified by Contractor monthly	DOE M 475.1-1B	Monthly		OSSES Classification Officer Information
58.	Information Security Oversight Office	Enumerates the number of documents classified by Contractor in the quarter	DOE M 475.1-1B	Quarterly		OSSES Classification Officer Information
59.	FOCI Contract Report	<b>This report has been discontinued</b>	N/A	Annually <b>(This report is no longer submitted)</b>		N/A
60.	IMI Level 4 Report	Documents Incidents of Security Concern	DOE M 470.4-1	Monthly		OSSES CMPC Program Manager
61.	Report of Cyber Security Systems	Documents disposition of Contractor Diskless conversion	At the request of DOE-SR	Monthly		OSSES ISSM Information
62.	Report of Cyber Systems-	Documents modifications or concerns	DOE O 205.1A,	Monthly		OSSES ISSM

	Report	Description	Driver	Frequency		Approval Requirements
	Classified and Unclassified	related to Contractor computer systems	DOE M 205.1-4			Information
63.	DOE-SR Access Authorization Status Report	A listing of all DOE and DOE sub's badging records to reconcile against PSB and PAES systems	Contract, Part III, Section J, Attachment A	Monthly		OSSES Personnel Security Team Leader Information
64.	Monthly Activities Report	Summary of SSSD activities including HRP, S&S Security Awareness, FOCI, OPSEC, Foreign Visits, clearance processing, case research and badging	Contract, Part III, Section J, Attachment A	Monthly		OSSES Personnel Security Team Leader Information
65.	Friday Flash Report	Shows activities for screening, pending screening, HSPD-12, credit reports, e-QIP, HRP, arrests, miscellaneous reports, Security Incident/Infraction reports, Form 70's and status of weekly reports	Contract, Part III, Section J, Attachment A	Weekly		OSSES Personnel Security Team Leader Information
66.	Interview List	Shows list of pending interviews, tracks timeliness, derogatory codes & status of cases	Contract, Part III, Section J, Attachment A	Weekly		OSSES Personnel Security Team Leader Information
67.	Administrative Review List	Shows list of pending Administrative Reviews, tracks timeliness, derogatory codes and status of cases	Contract, Part III, Section J, Attachment A	Weekly		OSSES Personnel Security Team Leader Information
68.	Letter of Interrogatory List	Shows a list of pending Letter of Interrogatories; tracks their timeliness, derogatory codes and status of cases	Contract, Part III, Section J, Attachment A	Weekly		OSSES Personnel Security Team Leader Information
69.	Mental Illness List	<b>This report has been discontinued;</b> information has been consolidated into the Interview List	Contract, Part III, Section J, Attachment A	Monthly <b>(This report is no longer submitted)</b>		N/A
70.	EAPRO List	Shows list of pending Employee Assistance Program Referral Option members for timeliness, derogatory codes and current status	Contract, Part III, Section J, Attachment A	Monthly		OSSES Personnel Security Team Leader Information
71.	Investigation Submission Report	Listing of all submissions to Office of Personnel Management	Contract, Part III, Section J, Attachment A	Monthly		OSSES Personnel Security Team Leader Information
<b>REPORTS CURRENTLY PROVIDED TO DOE-SR AS REQUIRED/REQUESTED</b>						
<b>SECURITY PLANNING &amp; INFRASTRUCTURE</b>						

	Report	Description	Driver	Frequency		Approval Required
1.	Protective Force Assessment Report <b>(Changed to Periodic Self-Assessment Report)</b>	Management tool used to measure compliance/performance based requirements	DOE O 470.4-1	As requested <b>(Changed to Annually, five total)</b>		OSSES Information
QUALITY AND PERFORMANCE ANALYSIS						
2.	Occurrence Reporting/Processing (ORPS)	Reports submitted for all incidents and accidents based on the categorized group	DOE O 231.1-2	As required		OSSES Approval
3.	Survey/Appraisal 30-Day Initial Response	Response required for all DOE-SR Survey Inspection findings assessed against Contractor	DOE O 470.4-1	As required		OSSES Approval
OCCUPATIONAL SAFETY AND HEALTH						
4.	Formal Analysis Reports	Reports on formal analyses conducted on all injuries	Contract, Part III, Section J, Attachment A	As requested		OSSES Information
ADMINISTRATION						
5.	SAI Travel Initiatives (Budget vs. Actual)	Strategic Alignment Initiative-reduce travel costs by \$175M over 5-year period (1996-2000)	DOE-HQ Strategic Alignment Team	As requested		Finance Division Information
6.	Status of Residence Zip Code Report	Count of employees by ZIP Code	Contract, Part III, Section J, Attachment A	As requested		Office of Human Capital Management Information
7.	Organization Charts	Charts of the Company or sub-elements as requested by DOE-SR	Contract, Part III, Section J, Attachment A	As requested		Office of Human Capital Management Information
8.	Revised Overtime for the Fiscal Year	Letter submitted if overtime is expected to be greater than projected in AOP budget	Contract, Part II, Section I.26	As required		CO Information
9.	Change Control Request	Method used for revising AOP	Site Management Plan for Planning, Budgeting, Work Authorization and Control	As required		Director, OSSES Information (Approval over Threshold)
10.	Forecast for Procurements in Excess of \$100K	DOE Small Business Acquisition Forecast for purchases over \$100K	Public Law 100-656, Business Opportunity	As required		Small Business Program Management Information

	Report	Description	Driver	Frequency		Approval Required
			Development Reform Act of 1988			
11.	Workforce Restructuring Update	Provides positions to be eliminated in Workforce Restructuring, authorized and assigned positions and effective dates.	Economic or operational circumstances	As required <b>(Report has not been submitted since the 1996 Workforce Restructuring)</b>		Office of Human Capital Management Information
12.	Walkthrough Inspection Report	Provides inspection results, to include any corrective actions, for Management Walkthrough Inspections conducted within Contractor areas of responsibility	Contract, Part III, Section J, Attachment A	As required		Organizational Property Management Officer, Office of Support Services Information
13.	Capital Equipment Deductions	Provides a summary of Capital Equipment removed from the Master Property Record during the reporting period	Contract, Part III, Section J, Attachment A	As required		WSRC Finance Division/Capital Accounting Information
14.	Labor Relations report identifying significant events	Notification, Updates and Settlements of all Grievances at Step IV or Above Or Major Issues/Concerns Regarding the Collective Bargaining Agreement or the following: Possible Strike Situations; Referral to the National Labor Relations Board at any Level; Any Grievance Which May Reasonably be Assumed to be Arbitrated under a CBA; Grievance Resolutions Which May Serve to Impact Interpretation, Clarification, or to otherwise Modify the Terms of the CBA. Letters of Understanding or Other Such Agreements Reached Subsequent to the Initial CBA; Initiation of any Action by the Contract Under the Labor Management Relations Act of 1947, As Amended, and/or Involving the National Labor Relations Board.	Contract, Part III, Section J, Attachment A	As required <b>(Currently being submitted Monthly)</b>		Office of Human Capital Management Information

	Report	Description	Driver	Frequency		Approval Required
15.	Notification of Impending Contractor-Union Negotiations (MA-26)	Letter submitted prior to start of Bargaining Unit Contract negotiations	Contract, Part III, Section J, Attachment A	As required		CO Approval
16.	Reports During Negotiations (MA-26)	Verbal/written reports updating Director, OSSES on progress during negotiations	Contract, Part III, Section J, Attachment A	As required		Director, OSSES Approval and Information
17.	Notice of Labor Disputes	Labor Relations report identifying labor disputes	Contract, Part III, Section J, Attachment A	As required <b>(Currently being submitted Monthly)</b>		Office of Human Capital Management Information
18.	Printed Version of Collective Bargaining Agreement Including Letter of Agreements Oral or "Side-Bar" Agreements, Interpretations and Exceptions	Copy of the Collective Bargaining Agreement	Contract, Part III, Section J, Attachment A	As required		Office of Human Capital Management Information
<b>SECURITY SUPPORT</b>						
19	Contractor's Request for Authorization to Carry Firearms (U)	Formal request submitted to DOE-SR	DOE-473.2-2	As required		Director, OSSES Approval
20	Return of Voided Firearms/Arrest Authority Credentials	Formal request submitted to DOE-SR	DOE-473.2-2	As required		Director, OSSES Approval
21.	Contractor's Master Site Security Plan for Classified AIS	Master Security plan outlining protection of the classified systems	DOE Program Cyber Security Plan	As required <b>(Nothing has been submitted since 2004)</b>		
22.	Contractor's Authorized Derivative Classifiers List (Update)	List of current certified Authorized Derivative Classifiers	At the request of DOE-SR	As required		OSSES Classification Officer Information
23.	Contractor's Reviewing Official List (Update)	List of current Reviewing Officials	At the request of DOE-SR	As required		OSSES Classification Officer Information
24.	Information Requested for Technical Assessment of Contractor's Security Incident Program	Documents Incidents of Security Concern and any mitigating factors or additional information as requested	At the request of DOE-SR	As required		OSSES Security Incident Program Manager Information

	Report	Description	Driver	Frequency		Approval Requirements
25.	IMI-IV Incidents	Documents Incidents of Security Concern	DOE M 470.4-1	As required		OSSES Security Incident Program Manager Information
26.	Clearance Reduction Slides	Bar-graph which depicts the site's downsizing of clearances, i.e. downgrades and terminations	Contract, Part III, Section J, Attachment A	As required by Dir., OSSES		Director, OSSES and Personnel Security Team Leader Information
27.	TRIPS Activity Report	<b>The TRIPS machine has been removed. This function is no longer available</b>	Contract, Part III, Section J, Attachment A	As required by Dir., OSSES		N/A
28.	Automated Database Report	An alphabetical listing of all clearance holders. This is a backup to the PSB/CPCI systems.	Contract, Part III, Section J, Attachment A	As required		SSSD Processing Information
<b>REPORTS CURRENTLY PROVIDED TO DOE-SR BUT NOT IN THE CONTRACT</b>						
<b>ADMINISTRATION</b>						
1.	Annual Report of Exchange/Sale Transactions	Provides a summary, which includes cost savings, related to all exchange sales of personal property occurring during the reporting period	41 CFR 102-39.75	Annually		Organizational Property Management Officer, Office of Support Services Information
2.	Annual Report of Personal Property Furnished to Non-Federal Recipients	List of personal property furnished to non-federal recipients	41 CFR 102-36.295	Annually		Organizational Property Management Officer, Office of Support Services Information
3.	Balanced Scorecard Annual Report	Submitted for approval of personal property management performance measures	DOE Letter	Annually		Organizational Property Management Officer, Office of Support Services Approval
4.	Current Loan Status	Provided annually to report outstanding loans of personal property in place at the end of the fiscal year	DOE Email Notification	Annually		Organizational Property Management

	Report	Description	Driver	Frequency		Approval Required
						Officer, Office of Support Services Information
SECURITY SUPPORT						
5.	Administrative Review (AR) Update Status	Request made by Headquarters when corrections or additions are made to the status of a case in AR	DOE Request	As requested by DOE-HQ		DOE-HQ; OSSES Personnel Security Team Leader Information
6.	Weekly Status of Interviews	Report that shows the progress and status of interviews conducted, i.e. terminated, removed, added, re-interviewed, off-site interviews pending, and disability cases pending	DOE Request	Weekly		OSSES Personnel Security Team Leader Information
7.	Numbers for the Week	A tally of interviews pending and investigations awaiting screening; numbers include HRP files	DOE Request	Weekly		OSSES Personnel Security Team Leader Information
8.	HSPD -12 Adjudicated case	Status of HSPD-12 cases that have been processed	DOE Request	Weekly		OSSES Personnel Security Team Leader Information
9.	Pending Investigations at OPM	180 day report that tracks the length of time an investigation is at OPM. Identifies problem cases and those needing to be expedited	DOE Request	Bi-Monthly		OSSES Personnel Security Team Leader Information

**SECTION J**  
**ATTACHMENT B**

**RESERVED**

**SECTION J**  
**ATTACHMENT C**

**SMALL BUSINESS SUBCONTRACTING PLAN**

Pursuant to FAR 52.219-9, entitled Small Business Subcontracting Plan,  
\_\_\_\_\_ Subcontracting Plan, dated \_\_\_\_\_,  
submitted under RFP No. DE-RP30-08CC60025, is hereby incorporated by reference  
and made a part of this contract.

**SECTION J**  
**ATTACHMENT D**

**DOE/NNSA DIRECTIVES AND OTHER RELATED DOCUMENTS**

NUCLEAR REGULATORY COMMISSION

10 CFR 73 Physical Protection of Plants and Materials

ENERGY

10 CFR 708 Contractor Employee Protection Program

10 CFR 820 Procedural Rules for DOE Nuclear Activities

10 CFR 835 Occupational Radiation Program

10 CFR 851 Worker Safety and Health Program

10 CFR 1046 Physical protection of security interests

10 CFR 1047 Limited arrest authority and use of force by protective force officers

41 CFR 102 Federal Management Regulation

FEDERAL AVIATION ADMINISTRATION

14 CFR 133 Rotorcraft external-load operations

14 CFR 135 Operating requirements: Commuter and on demand operations and rules governing persons on board such aircraft

14 CFR 137 Agricultural aircraft operations

14 CFR 21 Certification procedures for products and parts

14 CFR 43 Maintenance, preventive maintenance, rebuilding, and alteration

14 CFR 61 Certification: Pilots, flight instructors, and ground instructors

14 CFR 67 Medical standards and certification

14 CFR 91 General operating and flight rules

NATIONAL TRANSPORTATION SAFETY BOARD

49 CFR 830 Notification and reporting of aircraft accidents or incidents and overdue aircraft, and preservation of aircraft wreckage, mail, cargo, and records

**List B - List of Applicable Directives**

**In addition, the following DOE Orders/Policies/Manuals/Guides/Notices are applicable:**

[DOE O 130.1](#) (Order, 09/29/1995)  
Budget Formulation

[DOE M 135.1-1A](#) (Manual, 01/09/2006)  
Department of Energy Budget Execution Funds Distribution And Control Manual

[DOE O 135.1A](#) (Order, 01/09/2006)  
Budget Execution Funds Distribution and Control

[DOE O 137.1A](#) (Order, 08/30/1999)  
Plan for Operating in the Event of a Lapse in Appropriations

[DOE P 141.1](#) (Policy, 05/02/2001)  
Department of Energy Management of Cultural Resources

[DOE P 141.2](#) (Policy, 05/02/2003)  
Public Participation and Community Relations

[DOE O 142.1](#) (Order, 01/13/2004)  
Classified Visits Involving Foreign Nationals

[DOE O 142.3](#) (Order, 06/18/2004)  
Unclassified Foreign Visits and Assignments

[DOE O 150.1](#) (Order, 05/08/2008)  
Continuity Programs

[DOE O 151.1C](#) (Order, 11/02/2005)  
Comprehensive Emergency Management System

[DOE O 200.1](#) (Order, 09/30/1996)  
Information Management Program

[DOE M 200.1-1 Chapter 9](#) (Manual, 2/15/2000)  
Public Key Cryptography and Key Management

[DOE G 200.1-1](#) (Guide, 05/21/1997)  
Software Engineering Methodology TOC

[DOE O 200.2](#) (Order, 10/11/2006)  
Information Collection Management Program

[DOE N 203.1](#) (Notice, 10/02/2000)

## Software Quality Assurance

[DOE P 205.1](#) (Policy, 05/08/2001)  
Departmental Cyber Security Management Policy

[DOE M 205.1-3](#) (Manual, 04/17/2006)  
Telecommunications Security Manual

[DOE M 205.1-4](#) (Manual, 03/08/2007)  
National Security System Manual

[DOE O 205.1A](#) (Order, 12/04/2006)  
Department of Energy Cyber Security Management

[DOE N 206.4](#) (Notice, 06/29/2007)  
Personal Identity Verification

[DOE O 221.1](#) (Order, 03/22/2001)  
Reporting Fraud, Waste, and Abuse To The Office of Inspector General

[DOE N 221.13](#) (Notice, 12/15/2006)  
Reporting Fraud, Waste, and Abuse

[DOE O 225.1A](#) (Order, 11/26/1997)  
Accident Investigations

[DOE G 225.1A-1](#) (Guide, 11/26/1997)  
Implementation Guide for use with DOE O 225.1A Accident Investigations

[DOE O 226.1A](#) (Order, 07/31/2007)  
Implementation of Department of Energy Oversight Policy

[DOE G 231.1-1](#) (Guide, 08/20/2003)  
Occurrence Reporting and Performance Analysis Guide

[DOE M 231.1-1A Chg 2](#) (Manual, 03/19/2004)  
Environment, Safety and Health Reporting Manual

[DOE M 231.1-2](#) (Manual, 08/19/2003)  
Occurrence Reporting and Processing of Operations Information

[DOE G 231.1-2](#) (Guide, 08/20/2003)  
Occurrence Reporting Causal Analysis Guide

[DOE O 231.1A Chg 1](#) (Order, 06/03/2004)  
Environment, Safety and Health Reporting

[DOE O 243.1](#) (Order, 02/03/2006)  
Records Management Program

[DOE O 243.2](#) (Order, 02/02/2006)  
Vital Records

[DOE O 311.1B](#) (Order, 02/12/2003)  
Equal Employment Opportunity and Diversity Program

[DOE O 350.1 Chg 1](#) (Order, 05/08/1998) **as amended by the requirements of H.7 Workforce Transition, H.8 Employee Compensation: Pay and Benefits, H.9 Post Contract Responsibilities for Pensions and Other Benefit Plans, H.10 Labor Relations, and H.38 No Third Party Beneficiaries.**  
Contractor Human Resource Management Programs

[DOE P 411.1](#) (Policy, 01/28/1997)  
Safety Management Functions, Responsibilities, and Authorities Policy

[DOE M 411.1-1C](#) (Manual, 12/31/2003)  
Safety Management Functions, Responsibilities, and Authorities Manual

[DOE G 414.1-2A](#) (Guide, 06/17/2005)  
Quality Assurance Management System Guide for Use with 10 CFR 830 Subpart A, Quality Assurance Requirements, and DOE O 414.1C, Quality Assurance

[DOE G 414.1-3](#) (Guide, 11/03/2004)  
Suspect/Counterfeit Items Guide for Use with 10 CFR 830 Subpart A, Quality Assurance Requirements, and DOE O 414.1B, Quality Assurance

[DOE G 414.1-4](#) (Guide, 06/17/2005)  
Safety Software Guide for Use with 10 CFR 830, Subpart A, Quality Assurance Requirements, and DOE O 414.1C, Quality Assurance

[DOE G 414.1-5](#) (Guide, 03/02/2006)  
Corrective Action Program Guide

[DOE O 414.1C](#) (Order, 06/17/2005)  
Quality Assurance

[DOE O 420.1B](#) (Order, 12/22/2005)  
Facility Safety

[DOE M 440.1-1A](#) (Manual, 01/09/2006)  
DOE Explosives Safety Manual

[DOE O 440.2B Chg 1](#) (Order, 11/19/2006)  
Aviation Management and Safety

[DOE G 440.2B-1A](#) (Guide, 09/19/2005)  
Implementation Guide - Performance Indicators (Metrics) for Use with DOE O 440.2B,  
Aviation Management and Safety

[DOE G 440.2B-2](#) (Guide, 07/18/2003)  
Implementation Guide - Aviation Management, Operations, Maintenance, Security, and  
Safety for Use with DOE O 440.2B, Aviation Management and Safety

[DOE O 442.1A](#) (Order, 06/06/2001)  
Department of Energy Employee Concerns Program

[DOE G 442.1-1](#) (Guide, 02/01/1999)  
Department of Energy Employee Concerns Program Guide

[DOE O 450.1 Admin Chg 1](#) (Order, 01/15/2003)  
Environmental Protection Program

[DOE G 450.1-10](#) (Guide, 10/25/2004)  
Senior Manager Implementation Guide for Use with DOE O 450.1, Environmental  
Protection Program

[DOE G 450.1-1A](#) (Guide, 10/24/2005)  
Implementation Guide for Use with DOE O 450.1, Environmental Protection Program

[DOE G 450.1-2](#) (Guide, 08/20/2004)  
Implementation Guide for Integrating Environmental Management Systems into  
Integrated Safety Management Systems

[DOE P 450.4](#) (Policy, 10/15/1996)  
Safety Management System Policy

[DOE M 450.4-1](#) (Manual, 11/01/2006)  
Integrated Safety Management System Manual

[DOE G 450.4-1B Vol 1](#) (Guide, 03/01/2001)  
Integrated Safety Management System Guide (Volume 1) for use with Safety  
Management System Policies (DOE P 450.4, DOE P 450.5, and DOE P 450.6); The  
Functions, Responsibilities, and Authorities Manual; and the DOE Acquisition  
Regulation

[DOE G 450.4-1B Vol 2](#) (Guide, 03/01/2001)  
Integrated Safety Management System Guide (Volume 2) for use with Safety  
Management System Policies (DOE P 450.4, DOE P 450.5, and DOE P 450.6); The

Functions, Responsibilities, and Authorities Manual; and the DOE Acquisition Regulation

[DOE P 450.7](#) (Policy, 08/02/2004)  
Environment, Safety and Health Goals

[DOE P 470.1](#) (Policy, 05/08/2001)  
Integrated Safeguards and Security Management Policy

[DOE O 470.2B](#) (Order, 10/31/2002)  
Independent Oversight And Performance Assurance Program

[DOE N 470.3](#) (Notice, 07/20/2006)  
Reciprocal Recognition of Existing Personnel Security Clearances

[DOE O 470.3A](#) (Order, 11/29/2005)  
Design Basis Threat Policy

[DOE M 470.4-1 Chg 1](#) (Manual, 08/26/2005)  
Safeguards and Security Program Planning and Management

[DOE M 470.4-2 Chg 1](#) (Manual, 08/26/2005)  
Physical Protection

[DOE M 470.4-3A](#) (Manual, 11/05/2008)  
Contractor Protective Force

[DOE M 470.4-4 Chg 1](#) (Manual, 08/26/2005)  
Information Security

[DOE M 470.4-5](#) (Manual, 08/26/2005)  
Personnel Security

[DOE M 470.4-7](#) (Manual, 08/26/2005)  
Safeguards and Security Program References

[DOE O 470.4A](#) (Order, 05/25/2007)  
Safeguards and Security Program

[DOE M 471.1-1 Chg 1](#) (Manual, 10/23/2001)  
Identification and Protection of Unclassified Controlled Nuclear Information Manual

[DOE O 471.1A](#) (Order, 06/30/2000)  
Identification and Protection of Unclassified Controlled Nuclear Information

[DOE O 471.3](#) (Order, 04/09/2003)

## Identifying and Protecting Official Use Only Information

[DOE M 471.3-1](#) (Manual, 04/09/2003)

Manual for Identifying and Protecting Official Use Only Information

[DOE G 471.3-1](#) (Guide, 04/09/2003)

Guide to Identifying Official Use Only Information

[DOE G 473.2-1](#) (Guide, 03/27/2003)

Guide for Establishment of a Contingency Protective Force

[DOE M 475.1-1 B](#) (Manual, 08/28/2007)

Manual for Identifying Classified Information

[DOE O 475.2](#) (Order, 08/28/2007)

Identifying Classified Information

[DOE O 534.1B](#) (Order, 01/06/2003)

Accounting

[DOE G 580.1-1](#) (Guide, 12/07/2005)

Department of Energy Personal Property Management Guide

[DOE O 580.1](#) (Order, 12/07/2005)

Department of Energy Personal Property Management Program

**SECTION J**  
**ATTACHMENT E**

**U.S. Department of Labor, Standard Form 98**  
**Notice of Intent to Make a Service Contract and Response to Notice**

**SECTION J**  
**ATTACHMENT F**

**RESERVED**

**SECTION J**  
**ATTACHMENT G**

**Small Disadvantaged Business (SDB) Participation Program Targets Form**

**Solicitation Note: The Contractor's executed Attachment L-9 Small Disadvantaged Business (SDB) Participation Program Targets Form will be inserted here upon contract award.**

**SECTION J**

## **ATTACHMENT H**

### **Performance Guarantee Agreement**

**Solicitation Note: The Contractor's executed Attachment L-6 Performance Guarantee Agreement will be inserted here upon contract award.**

## **SECTION J**

### **ATTACHMENT I**

#### **GUIDANCE FOR PREPARATION OF EMPLOYEE CONCERNS PROGRAM (ECP) IMPLEMENTATION PLAN**

This Guidance is to assist the Contractor in understanding the information being sought by the Department for each of the ECP Plan elements.

##### **Educational Outreach and Training**

The Contractor Plan should outline or discuss any programs already provided, or which it intends to provide, which will educate their workforce and those of their subcontractors on their rights and responsibilities regarding reporting all types of issues to their management and/or the ECP, the avenues available to all employees for raising concerns, emphasizing the proactive use of Alternative Dispute Resolution (ADR), and the Department's policy on zero tolerance for reprisal for raising issues.

##### **Effective Concerns Processing System**

The Contractor's ECP Plan should discuss the Contractor's existing or planned processes for receiving and resolving employee concerns in accordance with DOE directives. The Plan should discuss overall perspectives on organizational location of the ECP function, staffing, establishment of procedures, and logistical considerations for the functioning of an effective ECP.

##### **Thorough and Independent Investigation Process**

The Contractor's ECP Plan should discuss the Contractor's existing or planned processes for investigating employee concerns in accordance with DOE directives, including proposed methods for investigating concerns by ECP staff, as well as identifying the types of concerns referred or transferred to other organizations for investigation and resolution. The Plan should discuss the methods used to ensure the independence of the ECP and maintaining the integrity of the Program as an independent evaluation process. The Plan should also discuss the types and levels of expertise relative to the investigation process necessary to implement an effective ECP.

##### **Tracking Implementation of Corrective Actions**

The Contractor's Plan should discuss methods the Contractor is currently using or intends to use to document and track the implementation of corrective actions resulting from substantiated employee concern investigations, to include an evaluation of the effectiveness of the actions in resolving the concern and preventing future recurrence of the identified problems.

##### **Timely Response to Concerned Employees**

The Plan should describe the methods the Contractor is currently using or intends to use to provide effective feedback to the concerned employees throughout the process, as well as in providing a final closeout to the individual.

**Integration of the ECP into the Integrated Safety Management System (ISMS)**

The Plan should discuss the integration of the ECP as part of the Contractor's ISMS, specifically describing the Contractor's philosophy on how the ECP contributes to the effectiveness of the ISMS.

**Proactive Use of Alternative Dispute Resolution (ADR)**

The Contractor's Plan should discuss the Contractor's existing or planned processes for incorporating the proactive, early use of ADR methods, including mediation, into their efforts to resolve employee concerns, in accordance with DOE directives. The Plan should also discuss the types and levels of expertise relative to ADR necessary to implement ADR as part of an effective ECP.

**Zero Tolerance for Reprisal for Raising Issues**

The Plan should discuss the methods the Contractor is currently using or intends to use to communicate and enforce DOE directives regarding zero tolerance for reprisal for raising all types of issues. The Plan should discuss the processes established to implement the provisions of Title 10, Code of Federal Regulations, Part 708 (10CFR 708), *Contractor Employee Protection Program*, and the reprisal prohibitions under Title 10, Code of Federal Regulation, Part 820 (10CFR820), *Procedural Rules for DOE Nuclear Activities*. The Plan should include discussion of methods of training employees and supervisors on the provisions of 10CFR708 and 10CFR820, as well as proactively resolving formal complaints filed under 10CFR708. The Plan should also include discussion regarding how to address the implications of violations of 10CFR708 or 10CFR820 as it relates to the Price-Anderson Amendments Act of 1988 (PAAA).

**Effective Self Assessment and Evaluation Process**

The Contractor ECP Plan should discuss the methods the Contractor is currently using or intends to use to implement an effective self assessment and evaluation process, in accordance with DOE directives, including DOE Order 226.1, *Implementation of DOE Oversight Policy*. The Plan should include discussion on methods to conduct tracking and trending analysis on concerns received and resolved, as well as actions to report that information to senior Contractor management

## **SECTION J ATTACHMENT J**

### **GUIDANCE FOR PREPARATION OF EQUAL OPPORTUNITY PROGRAM**

With regard to the Contract Section I clause entitled "Equal Opportunity," this attachment provides guidance to assist the Contractor in understanding the Department's expectations in the area of workforce equal employment opportunity and diversity.

In addition to Executive Order 11246 and DOE Order 311.1B, DOE-SR contractors and subcontractors will strive to meet the DOE-SR's expectations to be model employers in the area of workforce equal employment opportunity and diversity, and to provide policies, procedures, and assign responsibilities and authorities for the oversight of contractor equal employment opportunity and affirmative action at DOE facilities, as specified in applicable State and Federal laws and regulations.

DOE-SR contractors and subcontractors must ensure that all its personnel actions are "made free" of any discrimination based on race, color, religion, sex, national origin, age, disabling condition, reprisal or sexual orientation and that each of its contractors and subcontractors has "an affirmative program of equal employment opportunity" for all employees and applicants for employment. To this end, the contractors must maintain the essential element of a Model EEO Program:

- Demonstrated commitment from company leadership;
- Integration of EEO into the company's strategic mission;
- Management and program accountability;
- Proactive prevention of unlawful discrimination;
- Efficiency; and
- Responsiveness and legal compliance.

#### **A. Demonstrated Commitment From Contractor Leadership**

- 1) Contractor heads and other senior management officials are to demonstrate a firm commitment to equality of opportunity for all employees and applicants for employment. Even the best workplace policies and procedures will fail if they are not trusted, respected and vigorously enforced. The Contractor must translate equal opportunity into every day practice and make those principles a fundamental part of their company culture. This commitment to equal opportunity must be embraced by company leadership and communicated through the ranks from the top down. It is the responsibility of each company head to take such measures as may be necessary to incorporate the principles of equal employment opportunity into the company's organizational structure.
- 2) To this end, company will adhere to all DOE policies governing equal employment opportunity (EEO) and a workplace free of discriminatory harassment.

#### **B. Integration of EEO Into The Company's Strategic Mission**

- 1) Maintain a reporting structure that provides the company's EEO Director with regular access to the company head and other senior management officials for reporting on the effectiveness, efficiency and legal compliance of the company's equal employment opportunity and diversity programs.
- 2) EEO Director be a direct report to the company head.
- 3) Ensure EEO professionals are involved with, and consulted on, the management and deployment of human resources. The EEO Director should be a regular participant in senior staff meetings and regularly consulted on human resources issues.
- 4) Allocate sufficient resources to create and/or maintain equal employment opportunity and diversity programs that: 1) identify and eliminate barriers that impair the ability of individuals to compete in the workplace because of race, national origin, sex or disability; 2) establish and maintain training and education programs designed to provide maximum opportunity for all employees to advance; and 3) ensure that unlawful discrimination in the workplace is promptly corrected and addressed.
- 5) Attract, develop and retain EEO staff with the strategic competencies necessary to accomplish the company's EEO mission, and interface with company officials, managers and employees.
- 6) Recruit, hire, develop and retain supervisors and managers who have effective managerial, communications and interpersonal skills. Provide managers and supervisors with appropriate classroom training and other resources to understand and successfully discharge their duties and responsibilities.
- 7) Involve managers and employees in the implementation of the company's equal employment opportunity and diversity programs.
- 8) Use various media to distribute EEO information concerning EEO laws, regulations and requirements, rights, duties and responsibilities and to promote best workplace practices.

#### C. Management and Program Accountability

- 1) Conduct regular internal audits, on at least an annual basis, to assess the effectiveness and efficiency of equal employment opportunity laws, regulation to ascertain whether the company has made a good faith effort to identify and remove barriers to equality of opportunity in the workplace.
- 2) Establish procedures to prevent all forms of discrimination, including harassment, retaliation and failure to provide reasonable accommodation to qualified individuals with disabilities.
- 3) Evaluate managers and supervisors on efforts to ensure equality of opportunity for all employees.
- 4) Maintain clearly defined, well-communicated, consistently applied and fairly implemented personnel policies, selection and promotion procedures, evaluation procedures, rules of conduct and training systems.
- 5) Review each finding of discrimination to determine the appropriateness of taking disciplinary action against company officials involved in the matter. Track these decisions and report trends, issues and problems to company leadership for appropriate action.

#### D. Proactive Prevention of Unlawful Discrimination

- 1) Contractors must conduct a self-assessment on at least an annual basis to monitor progress, identify areas where barriers may operate to exclude certain groups and develop strategic plans to eliminate identified barriers.

#### E. Efficiency

- 1) Contractors must have an efficient and fair dispute resolution process and effective systems for evaluating the impact and effectiveness of their EEO programs.
- 2) Maintain an efficient, fair and impartial complaint resolution process.
- 3) Establish and encourage the widespread use of a fair alternative dispute resolution (ADR) program that facilitates the early, effective and efficient informal resolution of disputes.
- 4) Establish an internal complaint process to include suspense date that has been approved by DOE-SR. Develop a tracking and monitoring system that permits the company to identify the location, status, and length of time elapsed at each stage of the company's complaint process, the issues and the bases of the complaints, the aggrieved individuals/complainants, the involved management officials and other information necessary to analyze complaint activity and identify trends.
- 5) Identify, monitor and report significant trends reflected in complaint processing activity monthly to DOE-SR. Analysis of data relating to the nature and disposition of EEO complaints can provide useful insight into the extent to which an company is meeting its obligations to equal employment opportunity laws, regulations, executive orders and guidances.
- 6) Maintain a system that collects and maintains accurate information on the race, national origin, sex and disability status of company employees.
- 7) Maintain a system that tracks applicant flow data, which identifies applicants by race, national origin, sex and disability status and the disposition of all applications.
- 8) Maintain a tracking system of recruitment activities to permit analyses of these efforts in any examination of potential barriers to equality of opportunity.
- 9) Identify and disseminate best workplace practices.

#### F. Responsiveness and Legal Compliance

- 1) Ensure that they are in full compliance with the laws, regulations, guidances, orders and other written instructions.

### **Reporting**

- The contractors will provide monthly reports on the status of activities undertaken pursuant to its equal employment opportunity and diversity programs and annually are required by Executive Order 11246